UNITED
NATIONS

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Secretariat

ST/AI/410
14 September 1995

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: Assistant Secretary-General for Human Resources Management

Subject: IMPLEMENTATION OF THE INITIAL GENERAL SERVICE CLASSIFICATION EXERCISE AND THE MAINTENANCE OF THE CLASSIFICATION SYSTEM AT SANTIAGO*

## INTRODUCTION

1. In September 1991, the International Civil Service Commission approved the Global Classification Standard for Non-Headquarters Duty Stations, based on a seven-level grading structure. Subsequently, on 10 July 1995 the Commission promulgated two supplemental benchmark classification standards for application specifically at Santiago. The results of the initial classification of General Service posts at Santiago were approved by the Assistant Secretary-General for Human Resources Management on 12 September 1995. The purpose of the present instruction is to set out the procedures for the implementation of the initial classification results at Santiago, as well as the procedures for the classification of posts after the initial exercise has been implemented.

## I. CLASSIFICATION SYSTEM

2. Post classification is job-oriented: the classification of each post depends on the nature of the duties and responsibilities assigned to the post and not on the qualifications or experience of the incumbent or candidate for the post.

3. The classification standards for posts in the General Service and related categories at Santiago consist of: (a) a point factor matrix and benchmark job

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* Personnel Manual index No. 2190.

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descriptions on the basis of which each post is analysed and evaluated; (b) a point grade conversion table; (c) guidelines for the application of the standards; (d) a glossary of terms. The standards differentiate the seven levels according to the following factors:

(a) Difficulty of work;

(b) Work relationships;

(c) Responsibility for the work of others;

(d) Independence of action;

(e) Physical environment;

(f) Knowledge and qualifications required.

4. The duties and responsibilities of each post or group of identical posts are reflected in a job description (form P.270). The accuracy of the job description is certified by the supervisor, who ensures a reasonable alignment of the functions assigned among posts in the office to accomplish its activities and objectives. The term "supervisor" in this context means the staff member who signs the performance evaluation report as the first reporting officer.

## II. IMPLEMENTATION OF THE INITIAL CLASSIFICATION RESULTS

### Classification decisions

5. For the initial classification of General Service posts at Santiago, duly signed job descriptions for each post or group of identical posts were transmitted for classification review to the Compensation and Classification Service, Office of Human Resources Management.

6. The classification analysis was conducted independently by two classification officers and approved by the Chief of the Compensation and Classification Service. The final decision regarding the classification of the posts was taken by the Assistant Secretary-General for Human Resources Management. The classification results were sent to the offices concerned which will notify the incumbent(s) of the post(s).

### Implementation procedures

7. The results of the classification exercise for Santiago will be implemented in accordance with the procedures for implementation set out in annex I to the present instruction.

8. The initial classification of a post will not negatively affect the existing contractual status, salary or other entitlements of the staff member concerned.

Review and appeal of classification decisions in the initial classification exercise

9. The classification level of a post may be appealed by the head of the office/division in which the post is located and/or the incumbent of the post at the time of the classification.

10. Appeals against the results of the initial classification must be submitted in accordance with the procedures outlined below. Such appeals shall relate to the application of the classification standards. The grade levels of other posts either at the duty station or at other duty stations are not relevant to the review of a particular classification decision and do not constitute grounds for appeal.

11. Cases for appeal must be submitted in writing to the Executive Secretary of the Economic Commission for Latin America and the Caribbean (ECLAC) within 60 days of the receipt of the classification notice. Submissions must include specific information concerning the reasons for the appeal and must be accompanied by the job description used to classify the post. Additional information may be provided in relation to the completeness of the job description, but no revised or new job description for a given job will be deemed receivable in the context of the appeals process.

12. In submitting appeals, staff members should indicate why they believe the post should have been classified at a higher level. The appeal should address the nature of the duties and responsibilities of the post and not the qualifications and performance of the incumbent. For example, an appellant may believe that the variety or complexity of assignments, or the independence required to perform them, were not fully appreciated in the classification review. Accordingly, appellants may wish to clarify the duties and responsibilities of the post as set forth in the job description, indicating those they believe justify classification of the post at a higher level. Appellants may also wish to submit samples of their work in support of their views.

13. The Administration, in preparing its report on the classification review of the post, will take into account the views presented by the appellant, and may adjust its evaluation of the post in light of the appellant's arguments. The appellant will have the opportunity to review and comment upon the analysis of the post by the Administration prior to the Classification Appeals and Review Committee's consideration of the case. The Committee, in turn, will undertake its own independent evaluation of the post, taking into account the positions of both parties. The Committee may request additional information or clarification on the functioning of the post, if it deems it necessary.

14. For posts classified at levels GS-1 through GS-6, the Executive Secretary of ECLAC will submit cases of appeal to the Santiago General Service Classification Appeals and Review Committee, together with the Administration's analysis of the case. The appellant will be informed accordingly. The terms of reference of the Committee are contained in annex II of the present instruction.

15. Based on the findings and recommendations of the Committee, the Executive Secretary will take the final decisions concerning the classification of posts at the GS-1 through GS-6 level. The Executive Secretary will inform appellants of the decisions, as well as of the findings and recommendations of the Committee.

16. For posts classified at level GS-7 and for posts which have been reviewed by the Committee and considered to be at a level higher than GS-6, the Executive Secretary will transmit the appeals to the Assistant Secretary-General for Human Resources Management for a decision. The review procedures for these posts are as follows:

(a) The Assistant Secretary-General for Human Resources Management will transmit these cases for review to the Compensation and Classification Service, Office of Human Resources Management, for review in the light of the additional information;

(b) In cases where the Compensation and Classification Service agrees with classification at the higher level, the Assistant Secretary-General for Human Resources Management will decide on the case;

(c) In cases where the Compensation and Classification Service does not concur with the appellant, the case will be submitted for advice to the New York General Service Classification Appeals and Review Committee, together with the classification analysis of the case. The appellant will be informed accordingly;

(d) The New York Committee will submit its findings and recommendations to the Assistant Secretary-General for Human Resources Management, who will take a final decision and communicate this, as well as the findings and recommendations of the Committee, to the appellant through the Executive Secretary of ECLAC.

## III. CLASSIFICATION OF POSTS AFTER THE INITIAL CLASSIFICATION EXERCISE IS IMPLEMENTED

### Classification authority

17. In the context of the maintenance of the classification system following the initial exercise, the Executive Secretary of ECLAC will have the authority for the classification of posts in the General Service category at Santiago at levels GS-1 through GS-6. Classification decisions for posts at the GS-7 level will remain the responsibility of the Assistant Secretary-General for Human Resources Management.

### Requests for classification

18. Requests for classification or reclassification of posts shall be submitted in the following cases to the Chief, Personnel Section, Division of Administration, ECLAC:

(a) Where a post is newly established;

(b) Where a post becomes vacant;

(c) Where the duties of a post have changed substantially as a result of restructuring within an office;

(d) Where the duties of a post have changed substantially as a result of changes in the programme of work of an office (new programmes, tasks etc.).

19. Requests for classification of a new post or reclassification of an established post should contain the following information:

(a) An up-to-date job description for the post in question and information on the job description being replaced, if applicable;

(b) An up-to-date organizational chart showing the placement of the post in question, in the context of all other posts that may be affected by the classification requested;

(c) Specific examples of the activities assigned to the post in question that support the revised functions.

20. If, at the time of the classification request, there has been no substantial change in the duties and responsibilities of the post, the classification level of the post may be confirmed using form P.270/A.

## Classification review

21. Each request for classification of a post will be reviewed by the Santiago Classification Panel, established by the Executive Secretary of ECLAC, as specified in annex III. ECLAC's Administration will provide the Classification Panel with a classification analysis of the post for its consideration. The Panel will make its recommendations to the Executive Secretary who will take decisions regarding the classification of all posts that are found to be at levels GS-1 through GS-6.

22. Cases that are considered by the Panel to be classifiable at the GS-7 level, or in the Professional category, will be forwarded to the Compensation and Classification Service, Office of Human Resources Management, for review. Classification decisions for these posts will be taken by, or on behalf of, the Assistant Secretary-General for Human Resources Management and forwarded to ECLAC for implementation, as appropriate.

## Implementation of classification decisions

23. A notice of the classification results will be provided to the office/division where the post is located and to the incumbent(s) of the post(s). The effective date for the implementation of the classification

decision for each post will normally be the first day of the month following the date of the classification decision.

Review and appeals of classification decisions

24. The head of an office/division in which the post is located, or the incumbent of the post at the time of the classification, may request a review of the classification decision on the grounds that the classification standards were incorrectly applied. Requests for review must be submitted in writing, within 60 days of receipt of the classification notice, to the Executive Secretary.

25. Requests must include specific information concerning the reasons for the appeal, and relate to the application of the classification standards. Grade levels of other posts either at the duty station or at other duty stations are not relevant to the review of a particular classification decision and will not constitute grounds for appeal. The request must be accompanied by the job description on the basis of which the post was classified. No new or revised job description will be receivable in the context of the appeals process, but the appellant may wish to bring to the attention of the Executive Secretary any information directly relevant to the classification of the post that was not originally submitted.

26. For posts classified at levels GS-1 to GS-6, the review procedures are as follows:

(a) The Executive Secretary will request the Santiago Classification Panel to review the request in the light of the new information. The Panel will be provided with a classification analysis of the case by the Personnel Section;

(b) In cases where the Panel agrees with the appellant, the Executive Secretary will take a final decision based on the Panel's recommendations;

(c) In cases where the Panel does not concur with the appellant, the Executive Secretary will submit the case to the Santiago General Service Classification Appeals and Review Committee, together with the classification analysis of the case and the recommendation of the Classification Panel. The appellant will be informed accordingly. The terms of reference of the Committee are contained in annex II;

(d) The Committee will submit its findings and recommendations to the Executive Secretary. The Executive Secretary will take a final decision concerning the classification of posts at levels GS-1 to GS-6. The decision of the Executive Secretary will be communicated to the appellant, together with the findings and recommendations of the Committee.

27. Requests for review with respect to posts that have been classified at level GS-7, and cases that were reviewed by the Santiago Classification Panel and/or the General Service Classification Appeals and Review Committee and considered to be at a level higher than GS-6, will be transmitted by the Executive Secretary to the Assistant Secretary-General for Human Resources

Management, for a decision. The review procedures for these posts are as follows:

(a) The Assistant Secretary-General for Human Resources Management will transmit these cases to the Compensation and Classification Service, Office of Human Resources Management, for review;

(b) In cases where the Compensation and Classification Service agrees with the classification at the higher level, the Assistant Secretary-General for Human Resources Management will decide on the case;

(c) In cases where the Compensation and Classification Service does not concur with the appellant, the case will be submitted to the New York General Service Appeals and Review Committee, together with the classification analysis of the case by the Compensation and Classification Service;

(d) The New York Committee will review all cases referred to it and submit its findings and recommendations to the Assistant Secretary-General for Human Resources Management, who will take the final decision on the level of these posts. The decision of the Assistant Secretary-General for Human Resources Management, together with the findings and recommendations of the New York Committee will be communicated to the Executive Secretary of ECLAC, who, in turn, will inform the offices and staff members concerned.

## Annex I

## IMPLEMENTATION OF THE INITIAL CLASSIFICATION REVIEW OF GENERAL SERVICE POSTS AT SANTIAGO

1. These implementation procedures are based on the seven-level structure that was introduced on 1 January 1995 to replace the eight-level structure, and on the personal grade levels of staff members resulting from the integration into the seven-level scale. The initial classification of a post will not negatively affect the existing contractual status, salary or other entitlements of the staff member concerned.

2. The results of the initial classification at Santiago will be implemented with effect from 1 January 1995 as follows.

### A. Level

3. If the grade levels of the classified posts are numerically lower than the present levels of the incumbents, the incumbents will retain their present grade levels.

4. If the grade levels of the classified posts are numerically the same as the present grade levels of the incumbents, those levels will apply.

5. If the grade levels of the classified posts are numerically higher than the present grade levels of the incumbents, the incumbents will normally be placed at the classified levels subject to the following criteria:

(a) If the grade levels of the classified posts are numerically greater by one than their present grade levels, the staff members will be placed at the classified levels, as of the effective date of the classification review, provided that they have been performing the functions described in the job descriptions for at least one year and have at least one year's seniority in their present grade levels;

(b) If the grade levels of the classified posts are numerically greater by two than their present grade levels, the staff members will be placed at the classified levels, as of the effective date of the classification review, provided that as of that date the staff members have been performing the functions described in the job descriptions for at least one year and have at least two years' seniority in their present grade levels;

(c) If the grade levels of the classified posts are numerically greater by three than their present grade levels, the staff members will be placed, as of the effective date of the classification review, at the grade levels numerically greater by two than their present grade levels, provided that the required criteria under subparagraph (b) above are met. After one year at the new grade level and subject to satisfactory performance, the staff members may be placed at the classified levels.

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6. In respect of posts classified in the Professional category, a recommendation will be made to the General Assembly that it approve reclassification of the post from the General Service to the Professional category under the current budgetary procedures and allow incumbents to be considered for promotion to the Professional category without having to take the competitive examination, provided that the staff member performed the functions described in the job description for at least three years prior to the date of implementation.

## B. Step

7. If the grade levels of the classified posts are numerically lower than, or the same as, their present grade levels, the staff members, in addition to maintaining their present grade levels, will continue to be eligible, if and when applicable, for step increments at those levels.

8. If the grade levels of the classified posts are numerically higher by one than the present grade levels of the staff members, the step at the new grade levels will be determined by applying a computation similar to the one applicable in accordance with staff rule 103.9 in cases of promotions.

9. If the grade levels of the classified posts are numerically higher by two or more than the present grade levels of the staff members, the procedure in paragraph 8 above will be applied in two or more stages to determine the step at each subsequent level up to the classified levels.

## C. Staff with insufficient seniority

10. In those cases where the grade levels of the classified posts are numerically higher than the present grade levels of the staff members but they lack the required seniority either in performing the functions described in the job descriptions, or in grade, both of which have to be satisfied, the special procedures outlined in paragraphs 11 and 12 below will apply.

### 1. Staff who do not have the required seniority in performing functions

11. If incumbent staff members have the required seniority in grade but do not have the required 12 months' seniority in performing the functions described in the job descriptions, the effective date of implementation will be delayed from the effective date of the classification review by the number of months required to reach the 12 months' seniority requirement.

### 2. Staff who do not have the required seniority in grade

12. If incumbent staff members have the required seniority in performing the functions described in the job descriptions, but do not have the required seniority in grade, the effective date of implementation will be delayed in the

manner described in paragraph 11 above until the requirement of seniority in grade is fulfilled. Thus, if the grade levels of the classified posts are numerically greater by two or more than their present grade levels, the staff members will be placed, as of the effective date of the classification review, at the grade levels, greater by one than their present grade levels, provided that the required criteria under 5 (a) above are met. When the second year's seniority is reached, the staff members may be placed at the level numerically greater by two than their present grade levels.

## Annex II

## TERMS OF REFERENCE OF THE SANTIAGO GENERAL SERVICE CLASSIFICATION APPEALS AND REVIEW COMMITTEE

### A. Composition

1. The Santiago General Service Classification Appeals and Review Committee is established as of the date of the present instruction.

2. The Committee shall be appointed by the Executive Secretary of ECLAC, as follows:

(a) A Chairperson appointed by the Executive Secretary after consultation with staff representatives;

(b) Two members nominated by the Administration;

(c) Two members nominated by the staff;

(d) The Committee shall elect a Vice-Chairperson from within its membership;

(e) The presence of at least two members, together with the Chairperson or Vice-Chairperson, shall constitute a quorum.

3. The term of office of the Committee shall initially be for two years.

4. Staff of the Personnel Section are not eligible for appointment to the Committee.

5. The Executive Secretary, ECLAC, shall assign a Secretary to the Committee.

### B. Functions

6. The Committee shall review all cases of appeal referred to it pertaining to the initial classification of General Service posts at Santiago or to the maintenance of the job classification system thereafter. The Committee shall be guided in its review of appeals by the common job classification standards applicable to Santiago. The Committee shall ensure that all appeals relate to the application of the classification standards.

7. The Committee shall forward its findings and recommendations on cases to the Executive Secretary.

8. The Committee shall establish its own procedures. It shall determine the information it requires to carry out its tasks in addition to the written submission of the party registering the appeal. The Committee may invite a member of the Personnel Section or any other staff member to provide any information it may require.

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Annex III

TERMS OF REFERENCE OF THE SANTIAGO CLASSIFICATION PANEL

A. Composition

1. The Santiago Classification Panel is established as of the date of the present instruction.

2. The Panel shall be appointed by the Executive Secretary of ECLAC, in consultation with staff representatives, and shall consist of a Chairperson, and four members. The Panel shall elect a Vice-Chairperson from within its membership.

3. The presence of at least two members, together with the Chairperson or Vice-Chairperson, shall constitute a quorum.

4. The Executive Secretary, ECLAC, shall assign a Secretary to the Panel.

B. Functions

5. The Panel shall review all requests for classification review of posts in the General Service at Santiago. The Panel shall be guided in its review by the job classification standards.

6. The Panel shall forward the results of its review to the Executive Secretary, for all cases at levels GS-1 through GS-6, and shall advise the Executive Secretary of its views concerning those cases it considers classifiable at levels higher than GS-6.

7. The Panel shall establish its own procedures. It will be provided by the Personnel Section with classification analyses, and any other information it may need to carry out its tasks.

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ST/AI/411
18 September 1995

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Under-Secretary-General for Administration and Management

Subject: PERFORMANCE APPRAISAL SYSTEM

1. The purpose of the present administrative instruction is to establish a performance appraisal system (PAS), pursuant to staff rule 112.6, as amended to implement General Assembly resolution 49/222 A, section I. The PAS shall apply to all staff members, up to and including Under-Secretaries-General, holding appointments of at least one year under the 100 series of the Staff Rules.

2. The PAS is designed to encourage a higher level of involvement and motivation by inviting staff participation in the planning, delivery and evaluation of work. The new system establishes a process for achieving responsibility and accountability in the execution of programmes approved by the General Assembly. It is based on linking individual work plans with those of departments and offices and entails setting goals, planning work in advance and providing ongoing feedback. An important function of the PAS is to promote communication between staff members and supervisors on the goals to be achieved, and the basis on which individual performance will be assessed, encouraging team work in the process.

Appraisal period

3. Except as provided in paragraphs 4 to 6 below, appraisals shall be made on an annual cycle, to begin on 1 January or 1 April of each year. The head of each department or office shall decide on the commencement date, based on the needs of that department or office, and shall inform the Under-Secretary-General for Administration and Management of that decision.

4. When a staff member takes up new duties upon recruitment, transfer or assignment in the course of the performance year, an individual work plan shall be established, a mid-point review conducted and an appraisal made for the period between the beginning of the new duties and the end of the performance year, if such period is six months or more.

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5. When a staff member or his or her supervisor is reassigned or transferred from a department or office, or is separated from service, an appraisal shall be made for the period between the beginning of the performance year and the reassignment, transfer or separation, if such period is six months or more.

6. A staff member may request a special evaluation report in respect of an assignment of less than six months in another work unit or on mission. Such a report should be consistent with the principles of the PAS. The report should state what was expected of the staff member and whether this was discussed by the staff member and the supervisor. The supervisor should appraise the performance and give an overall performance rating consistent with the rating system set out in paragraph 19 below. Special evaluation reports shall be included in the official status file of the staff member concerned.

Establishment of individual work plans

7. Prior to the beginning of the performance year, heads of department or office meet with the senior managers under their direct supervision, 1/ and, on the basis of the work plan for that department or office, define and delegate specific goals which will be the foundation for the individual work plan of each senior manager. In the light of their own work plans, those senior managers define and delegate individual goals to the staff under their direct supervision, after appropriate discussion. A similar process is repeated until every staff member has met with his or her supervisor to discuss the individual work plan of the staff member concerned. Supervisors may meet with the staff in their work unit either as a group or individually.

8. Individual work plans briefly describe the goals and specific actions for which the staff member is responsible during the performance year, together with the quantitative and qualitative dimensions required to carry out the individual work plan, on the basis of which the performance of each staff member will be evaluated.

9. Each staff member prepares, in a timely manner, a draft work plan to reflect the results of the meeting with his or her supervisor. The supervisor reviews the draft and, if necessary, clarifies possible misunderstandings as to the performance expected of the staff member. When agreement is reached, the supervisor finalizes and approves the individual work plan. If no agreement can be reached on the individual work plan, the matter is referred for further discussion and decision by the higher-level official in the department or office who will be the second appraising officer of the staff member concerned. 2/ The higher-level official may request the assistance of the Office of Human Resources Management or the local personnel office, if required. If necessary, the matter may be referred to the head of department or office for final decision.

Mid-year performance review

10. In the middle of each performance year, the supervisor reviews with each staff member the manner in which the individual work plan has been carried out, and provides performance feedback and guidance for the accomplishment of the goals set out in the work plan. At that time, the work plan may be revised if

there have been significant changes in the nature of the functions carried out by the staff member, or if such revision is required to pursue revised goals of the work unit.

11. Staff members and supervisors are encouraged to take initiative to discuss work performance whenever needed in the course of the performance year, in addition to the mid-year performance review.

12. In the light of the mid-year performance review, the supervisor may raise with the Management Review Committee any particular problem that can be foreseen for the year-end performance appraisal.

13. The Management Review Committee is a committee established in each department or office to provide leadership for the application of the PAS within that department or office. It seeks to ensure consistency in appraisals and ratings, and to maintain effective management of the planning and appraisal process throughout the department or office. Lower-level committees may be established if required by the needs of the department or office concerned. Management Review Committees are composed of managers and supervisors across work units within each department or office.

Year-end performance appraisal

14. The supervisor and the staff member meet at the end of the performance year to assess whether the individual work plan was carried out fully, was exceeded or was not met. Prior to the meeting, the staff member may prepare a preliminary assessment of the manner in which he or she has carried out the work plan defined at the beginning of the performance year. After discussion with the staff member and, in doubtful cases, with the second appraising officer, the supervisor prepares an appraisal of work plan performance and related aspects of the staff member's performance during the year, including compliance with the PAS process. The supervisor determines an overall appraisal rating based on the scale defined in paragraph 19 below and, if appropriate, provides overall comments. The staff member then has the opportunity to record on the performance appraisal form his or her comments on the overall performance appraisal and on the supervisor's compliance with the PAS process.

15. The second-level supervisor, acting as second appraising officer, reviews the performance appraisal form, makes comments, if desired, and signs the form.

16. The Management Review Committee reviews the comments and overall appraisal ratings with a view to ensuring the effective application of the PAS throughout the department or office concerned. The Committee may comment on the appraisal process, including the manner in which the first and second appraising officers have implemented the PAS. Any such comments shall be taken into account in determining the appraisal ratings of the first and second appraising officers.

17. After review by the Management Review Committee, the performance appraisal form is signed by the chairperson of the Committee and forwarded to the first appraising officer, who communicates it to the staff member. The staff member receives, signs and dates the form. Signature on the form only documents that the staff member has received it and does not reflect his or her views regarding

the appraisal. The first appraising officer forwards the completed form to the appropriate executive or personnel office for administrative processing and inclusion in the staff member's official status file.

Responsibility for timely execution of the PAS

18. Subject to paragraph 9 above, primary responsibility for the timely execution of the PAS, including completion of the PAS forms, rests with the supervisor. However, it is in the interest of each staff member to cooperate as much as possible by providing in a timely manner a draft individual work plan, and by being available for scheduled discussions with the supervisor for the mid-year review and the year-end appraisal. Staff members are reminded that they and supervisors are accountable for timely compliance and execution of the PAS process, and that supervisors must proceed and finalize the forms even when it is not possible to obtain the input of the staff member concerned.

Rating system

19. The PAS offers five possible ratings, from 1, the highest, to 5, the lowest.

Rating 1 applies to staff whose performance has consistently exceeded performance expectations.

Rating 2 applies to staff whose performance has frequently exceeded performance expectations.

Rating 3 applies to staff whose performance has fully met performance expectations.

Rating 4 applies to staff whose performance has partly met performance expectations.

Rating 5 applies to staff whose performance has not met performance expectations.

20. Ratings 1, 2 and 3 establish satisfaction with the work performed and shall be so viewed when staff members having received those ratings are considered for renewal of fixed-term appointment or selection for a post at the same or a higher level, without prejudice to the principle that such decisions remain within the discretionary authority of the Secretary-General. Ratings 4 and 5 document the existence of shortcomings, which may call for specific remedial training or for a development plan based on the particular needs of the staff member. Rating 4 may justify withholding of the within-grade increment, particularly if the same rating is given for a second consecutive year. Rating 5 may lead to a number of administrative actions, such as transfer to a different post or functions, withholding of within-grade increment, non-renewal of fixed-term contract or termination for unsatisfactory service.

Joint monitoring of the PAS

21. In each department or office, a Joint Monitoring Committee, composed of two management nominees, two staff nominees from the department or office, and a chairperson nominated by the head of the department or office in consultation with the staff, shall be established. The Committee shall meet during the performance year to monitor the implementation of the PAS by the department or office concerned with respect to the timeliness of the process, its procedures and overall results. Joint Monitoring Committees shall report to a Global Joint Monitoring Committee, composed of two members appointed by the Secretary-General, two nominated by the staff, and a chairperson appointed by the Secretary-General after staff consultation. The Global Joint Monitoring Committee shall consider the policy issues involved and prepare a report with appropriate recommendations to the Secretary-General through the Staff Management Coordination Committee. The joint monitoring mechanism shall remain in force for the three years following the full implementation of the PAS.

Establishment of rebuttal panels

22. In consultation with the staff representatives of the department or office concerned, the head of the department or office, or his/her representative, shall draw up a list of rebuttal panel members composed of three groups of staff members from the department or office concerned, in equal numbers. The list shall be composed as follows:

(a) Rebuttal panel members designated by the head of the department or office;

(b) Rebuttal panel members nominated by the staff of the department or office, through an election that should identify at least twice the number of individuals required for this particular group;

(c) Rebuttal panel chairpersons, selected by the head of the department or office after consultation with the staff representatives of that department or office.

The approved list, subdivided as indicated above, shall comprise nine individuals in all for large departments or offices and six for smaller departments or offices. Every effort shall be made to obtain an appropriate geographical and gender balance, where possible. The head of department or office shall inform the staff member in writing of the composition of the approved list.

23. Rebuttal panel members shall serve for a two-year term. In the event a member of the rebuttal panel is assigned to functions outside the department or office concerned, he or she shall be replaced in accordance with the procedure relevant for the group to which the rebuttal panel member belongs.

24. In small offices, where it may be difficult to constitute a list from the staff members of that office, the approved list may include staff members from other Secretariat offices at the same duty station, provided those staff members

have the knowledge and experience required to review the appraisal and its rating.

Rebuttal process

25. Staff members who disagree with the performance rating given at the end of the performance year may, within 30 days of signing the completed performance appraisal form, submit to their Executive Office at Headquarters, or to the Chief of Administration elsewhere, a written rebuttal statement setting forth briefly the specific reasons why a higher rating should have been given. Staff members having received the highest performance rating of 1 may not initiate a rebuttal. The rebuttal statement shall contain the names of the three individuals, one from each of the three groups identified in paragraph 22 above, whom the staff member has selected to serve on the rebuttal panel. A copy of the rebuttal statement shall be placed in the staff member's official status file.

26. After receiving a copy of the rebuttal statement, the head of department or office, or his/her representative, shall promptly prepare and submit to the rebuttal panel a brief written statement in reply to the rebuttal statement submitted by the staff member. A copy of the reply to the rebuttal statement shall be placed in the staff member's official status file. Unless geographical location makes it impractical, the panel shall hear the staff member, the first and second appraising officers, and, at the discretion of the panel, other staff members who may have information relevant to the review of the appraisal rating.

27. The rebuttal panel shall prepare with maximum dispatch a brief report setting forth the reasons why the original appraisal rating should, or should not, be maintained. The report of the rebuttal panel shall be placed in the staff member's official status file. The performance rating resulting from the rebuttal process shall be binding on the head of the department or office and on the staff member concerned, subject to the ultimate authority of the Secretary-General as chief administrative officer of the Organization, who may review the matter as needed on the basis of the record.

28. The rating resulting from an appraisal that has not been rebutted, or from the rebuttal process, shall not be subject to further appeal. However, administrative decisions which stem from any final performance appraisal and which affect the conditions of service of a staff member may be appealed.

Entry into force

29. The present administrative instruction takes effect on 1 October 1995 and supersedes administrative instruction ST/AI/240/Rev.2, which, however, shall continue to govern performance evaluation reports for the period ending 31 December 1995 or 31 March 1996, depending on the appraisal cycle selected by the head of the department or office, pursuant to paragraph 3 above.

30. Every effort shall be made to complete performance evaluation reports under administrative instruction ST/AI/240/Rev.2 for all staff by 30 June 1996.

Introductory phase-in period

31. In order to facilitate the full implementation of the PAS once the first full performance cycle begins for all staff members in 1996, staff members from the Under-Secretary-General level to the G-7 level (and corresponding levels in related categories) are required to participate in an introductory phase-in period. Many departments and offices have already introduced the system after their staff at those levels had received PAS training. Departments and offices that have not yet introduced PAS are required to do so no later than 1 October 1995.

32. The essential features of the introductory phase-in period are:

(a) The establishment of individual work plans for all staff members involved, covering the period ending either 31 December 1995 or 31 March 1996, depending on the appraisal cycle selected by the head of the department or office pursuant to paragraph 3 above;

(b) A brief review to confirm the individual work plans and discuss the performance to date, to be conducted in the middle of the relevant period;

(c) A performance appraisal to be conducted in the last month of that period.

33. The results of the appraisal made in the introductory phase-in period shall be taken into account in developing work plans for the performance year starting in 1996. The PAS rating for that period shall not be recorded in official status files, unless individual staff members make a request that it should be so included.

34. Executive Offices at Headquarters and heads of administration at all other duty stations shall manage and monitor the introductory phase-in period and the subsequent implementation of the full PAS system. The Office of Human Resources Management or the local personnel office shall establish a focal point to assist departments and offices.

PAS forms and guidelines

35. PAS forms, together with updated PAS guidelines, 3/ are available electronically and may be obtained through electronic mail or by requesting a copy on computer disc. The PAS forms use a WordPerfect macro-tool available in both English and French. A printed version of the forms and guidelines is also available from the relevant executive or personnel office for each of the departments and offices concerned.

Notes

1/ Direct supervisors act as first appraising officers in the PAS.

2/ The second appraising officer is the official in the department or office who supervises the first-level supervisor. The actual rank of the official depends on the structure of each department or office.

3/ The PAS guidelines are intended solely for guidance and information. The present instruction promulgates the rules establishing the rights and obligations of staff members. The text of this instruction shall prevail should there be any inconsistency between its provisions and the guidelines.

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UNITED
NATIONS

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Secretariat

ST/AI/411/Corr.1
29 September 1995

ENGLISH ONLY

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Under-Secretary-General for Administration and Management

Subject: PERFORMANCE APPRAISAL SYSTEM*

Corrigendum

The Personnel Manual index number in administrative instruction ST/AI/411 was omitted and should be inserted at the bottom of page 1 to read:

* Personnel Manual index No. 12011.

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